

DoD Business Systems Investment Review Proposal Submission Guideline

Version 07 15 05

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Attachment B – Core Business Mission Area BEA Compliance

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Attachment D – Defense Business Systems Investment Summary

**Attachment E – Business Management Modernization Program (BMMP) Investment
Review Board Portal User Manual for Components**

Introduction

Purpose

The purpose of this guide is to provide the Components and Pre-Certification Authority(s) (PCAs) with guidance regarding Investment Review Board (IRB) business system submissions. This document complements the June 2, 2005 Investment Review Process Overview and Concept of Operations for Investment Review Boards (hereafter referred to as IRB CONOPS) by providing additional detailed process and proposal submission guidance.

Accountability

The IRB CONOPS, section 6.0, describes the responsibilities of the organizations and individuals that have significant roles in the DoD Business System Investment Review Process. Tiered accountability is critical to the Department's success with its investment review process. In addition to the responsibility described in paragraph 6.4 of the IRB CONOPS, it's important to note that Pre-Certification Authorities (PCAs) are accountable for the business system investments, system reviews and compliance with the National Defense Authorization Act.

Standard Criteria

IRB business system submissions assert critical information for the IT investment as well as business case and architectural alignment to the BEA. This information allows decision-makers to make prudent evaluations relative to costs and benefits of the IT investment when compared to other IT competing requirements. For the fiscal year (FY) 2006 budget cycle, the Defense Business Systems Management Committee (DBSMC) IRB process focuses on 4 key areas, arriving at an "approve" or "disapprove" decision for each major IT investment. The investment recommendation for each IRB submission is based on the analysis for each of the following specific focus areas:

- I. *Basic System Information:*
 - Provides basic system information
 - Focuses on the project's funding request, budget status, and certification request.
- II. *Justification:*
 - What DOD enterprise or Component specific requirements this initiative addresses
 - What policy, law, or regulation this initiative is aligned with.
- III. *Transition Plan:*
 - Identifies how this investment is aligned with a particular Transition Plan
- IV. *Architecture Alignment:*
 - Identifies the activities or process supported by this system modernization or initiative
 - Addresses compliance to the Business Enterprise Architecture.

Preparation Rules

- o All Appendix E Certification Template questions (See Attachment A) must be answered and/or accounted for and apply to all submissions as described in this guideline.
- o All Yes/No responses do not require further narrative explanation (unless otherwise indicated in the document).
- o All information reported should be accurate and up-to-date and may be subject to further review.

- Overview for processing the remaining FY05 and FY06 submissions (See the IRB Workflow - Tiers 1, 2, and 3 of this guideline for further details and documentation requirements.)
 - For Tier 1 (>\$32M/MAIS) and Tier 2 (\$10M to \$32M or those deemed as Enterprise/Special Interest by the IRBs) investments, the PCA is accountable for ensuring that the information identified in Appendix E of the IRB CONOPS is complete and that it is posted to the Defense Business Systems IRB Portal. Additionally, the Component will complete the Defense Business Systems Certification Dashboard (Attachment C) for each business system submission.
 - For Tier 3 investments (\$1M to \$10M), the Component will complete and post the Defense Business Systems Certification Dashboard to the IRB Portal. The Component PCA is accountable for the information contained in the Appendix E Template (Attachment A), but does not have to submit the completed Template to the IRB portal.
 - For all other business system investments not captured in Tiers 1, 2, or 3, the Component PCA (as consistent with the NDAA Section 2222, paragraph (g)(2)(A)(B) requirement for annual reporting) will post the Defense Business Systems Investment Summary (Attachment D) to the IRB Portal consistent with NDAA annual reporting requirements.
- For Tier 1, 2, and 3 proposal submissions and associated pre-certifications, see Attachment B – Core Business Mission Area BEA Compliance. The Pre-Certification Authority (PCA) will review the conditions identified in Attachment B to ensure that appropriate action has been or will be taken (e.g., Transition Plans), and certify accordingly.

IRB Workflow – Tiers 1, 2, and 3

I. General Information

Start

Each Component designates a Pre-Certification Authority(s) (PCA) responsible for completing their internal certification process and preparing a standard certification submission and submitting it to the Office of Secretary of Defense (OSD) single-entry point, the IRB Portal.

A. DoD Business Systems Repository Access

1. In support of the DoD CIO and because of the need to provide a business systems inventory to Congress, we strongly recommend that the Component ensures that the information is current and correct in the official DoD Business Systems Repository per the 17 March 2005 and 15 June 2005 DCIO memoranda.
2. The repository website is located at <https://www.dadms.navy.mil/>
3. Access is password restricted. To establish an account and obtain login information, go to the website listed above and click on the ACCESS REQUEST option. Complete and submit the “New User Request” form.

B. IRB Portal Access

1. The Component PCA must obtain access to the IRB Portal. The IRB Portal is the automated workflow tool and the OSD single entry point for business system investment submission and related communication. The Component PCA posts the business system investment submission to the appropriate system folder located on this portal.
2. The Investment Review Board Portal is located at <https://portal.acq.osd.mil/portal/server.pt>

3. Access to the IRB Portal is password restricted. Each IRB has a designated point of contact (POC). To establish a portal account and obtain login information, contact the POC for your IRB and identify name, organization, phone number, and email address.
4. The Business Management Modernization Program (BMMP) Investment Review Board Portal User Manual For Components (Attachment E of these guidelines) provides the detailed user instructions. Investment Review Board Portal User Manual

C. IRB Portal Folder Structure

To locate your system folder, the Investment Review Board Portal folder structure is:

1. Mission Area
2. Component
3. System – the naming convention used for your specific system folder is based on the DCIO's designated unique business system registration identifier (hereafter referred to as SystemAcronym_ID# which is currently defined as SystemAcronym_DITPR#)
4. Fiscal Year

D. Component Certification Submission Documents and File Naming Convention

The documents that a Component would need to provide for certification submission are listed below along with the file naming convention to be used for posting these documents.

<u>COMPONENT CERTIFICATION SUBMISSION DOCUMENT</u>	<u>STANDARD FILE NAME</u>	<u>APPLICABLE TIER</u>
Component Pre-Certification (CPC) Letter (Sample letter in IRB CONOPS, Appendix D)	SystemAcronym_ID#_FYxx__CPCLetter	1 2 3
Appendix E Certification Template (can be accessed on the IRB portal)	SystemAcronym_ID#_FYxx_Appendix_E_Template	1 2 3 – To be made available upon request
Defense Business Systems Certification Dashboard	SystemAcronym_ID#_FYxx_Certification Dashboard	1 2 3
Component Economic Viability (EV) analysis	SystemAcronym_ID#_FYxx_EV	For All Tiers - To be made available upon request
Independent Cost Review Authority Validation Letter (listed in Appendix E, sample letter in Appendix C in IRB CONOPS)	SystemAcronym_ID#_FYxx_EV_CertLetter	For All Tiers - To be made available upon request

<u>COMPONENT CERTIFICATION SUBMISSION DOCUMENT</u>	<u>STANDARD FILE NAME</u>	<u>APPLICABLE TIER</u>
Defense Business Systems Investment Summary	SystemAcronym_ID#_FYxx_Investment Summary	Tier 3 and/or other business system submissions for NDAA reporting

E. Certification documents that will be posted to the IRB Portal by the IRB Certification Authority (CA) or DBSMC follow the same standard naming convention:

1. SystemAcronym_ID#_FYxx_IRB_Memo
2. SystemAcronym_ID#_FYxx_CA_Memo
3. SystemAcronym_ID#_FYxx_DBSMC_Memo
4. SystemAcronym_ID#_FYxx_Appeal_Memo

The Defense Business Systems Investment Summary format will also be used for communicating business systems status at the IRB and DBMSC.

F. If issues arise during the course of a review, the applicable IRB Support Group will create an issue(s) document and post it to the IRB Portal following the same standard naming convention:

1. SystemAcronym_ID#_FYxx_issue

G. Investment Review Process Metrics

Important proposal submission dates will be maintained by the applicable IRB support group:

1. Package Pre-Certification date (received submission)
2. Requested approval date (Component's target)
3. IRB acceptance date (package accepted as complete)
4. Disposition date (IRB disposition)
5. Appeal request date (new field to be added)
6. Approval date (DBSMC disposition)

II. PCA Submission To OSD

Submit to
OSD single
entry point

- A. To submit a certification submission, the PCA posts the certification submission documents to the appropriate system folder located on the IRB Portal. Certification submission consists of documents that are identified in the previous "I. General Information" section, paragraph D of this document. The Appendix E Certification Template will be used for submission of information as described in this guideline until the DoD Business Systems Repository is populated with sufficient information.
- B. The action of posting the certification documents to the IRB Portal results in system-generated email notifications that are sent to the lead IRB support group subscribed to the system folder. This is the Component PCA official submission and the beginning of the OSD-level investment review process.

III. Principle Staff Assistant (PSA) Support Groups

A. The first action of the lead IRB support group is to notify any applicable partner IRB support group(s) utilizing the IRB Portal task function, and to “subscribe” them to the system folder. This is important because all subscribers will receive a system-generated email notice each time a document is added to the system folder or an existing document is modified. All subscribers have the ability to view the documents in the folder and monitor the status of the package throughout the certification process.

B. The next action of the lead IRB support group is to validate that the package is complete by ensuring that all required documents were posted to the IRB Portal. The IRB support group has two business days to complete this action.

1. If the submission is complete, the lead IRB support group will notify the Component PCA utilizing the portal notification function. **Example:** “The certification submission is complete.”
2. If the submission is incomplete, the IRB support group will notify the Component PCA utilizing the portal notification function. The task must identify the missing item and include a due date. **Example:** “The certification submission is incomplete. The Pre-Certification letter is a required part of the standard certification submission and is not posted to the portal. Please submit within two business days.”

C. If applicable, the lead IRB support group notifies partner IRB support groups to begin reviewing the package by utilizing the IRB Portal task function. All IRB support groups have five business days to complete the review of the certification submission. The portal task function due date will be set accordingly.

1. If the lead/partner IRB support groups have completed their review of the package without issue, the lead IRB support group will prepare a recommendation and post it to the IRB Portal system folder. The partner IRB support group(s) will coordinate on the lead IRB support group’s recommendation document. All IRB support groups will notify their PSA and IRB utilizing the IRB Portal task function.
2. If the lead/partner IRB support groups have issues/questions, the affected support groups should create an issue document using the standard naming convention and post it to the system folder on the IRB portal
 - a. After all issues are resolved, the lead IRB support group will prepare a recommendation and post it to the IRB Portal system folder. The partner IRB support group(s) will coordinate on the lead IRB support group’s recommendation document and notify their PSA.
 - b. For unresolved issues, the IRB support groups must include an explanation with their recommendation to the IRB.

IV. IRB Certification Authority Decision

A. The next level in the process is the IRB review, vote, and recommendation to the IRB CA. It is not necessary for the IRB to convene for each submission. IRB members have access to view the IRB Portal system folder containing the certification submission and all related communication.

Is Package
Complete

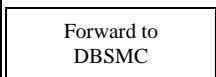
Component PCA
Additional
Information

IRB Review &
Recommendation



B. IRB recommendations are sent to the IRB CA for review and certification decision.

1. If the IRB CA agrees to certify, the CA will post a certification memo in the IRB Portal system folder for the FY of the review. This action generates an email notification to the DBSMC for action.

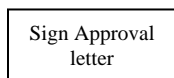


2. If the IRB CA does not agree to certify, they will notify the Component PCA and DBSMC utilizing the IRB Portal task function.



V. DBSMC Decision

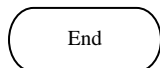
The final approval decision resides with the DBSMC.



- A. If the DBSMC has no objections to the IRB CA decision, they will sign the approval memo and post it to the IRB Portal system folder for the FY of the review. This action generates an email notification to all folder subscribers. This ends the certification process.



- B. If any DBSMC principle/associate member has an objection to the IRB CA decision, they must provide their rationale for objection to the DBSMC in writing within five business days for a decision review.



- C. The DBSMC decision is final, will be stated in a memo, and posted to the IRB Portal system folder. This action generates an email notification to all subscribers. This ends the certification process.

Attachment A

IRB Guidance for Completing the Appendix E Certification Template

Criteria Descriptions & Guidance

PLEASE NOTE: The Appendix E Template (Tool) may be located on the IRB Portal.

Basic System Information

THE QUESTIONS ARE INTENDED TO PROVIDE THE REVIEWER WITH BASIC PROJECT INFORMATION AS AN INTRODUCTION TO THE DETAILED CONTENT CONTAINED IN THE REMAINING PORTIONS OF THE IRB PACKAGE AND TO ESTABLISH STAKEHOLDER INTERESTS. IT ALSO CONTAINS QUESTIONS INTENDED TO ESTABLISH SYSTEM THRESHOLDS & INVESTMENT TYPES FOR REVIEW BY THE APPROPRIATE IRB, TO ESTABLISH SYSTEM LIFECYCLE & ACQUISITION STAGES, AND TO ESTABLISH KEY CERTIFICATION MILESTONE DATES.

Points of Contact

Which Core Business Mission Area is primary?

ENTER ONE OF 5 CORE BUSINESS MISSION AREAS. ABBREVIATION TO IDENTIFY WHICH IRB(S) IS RESPONSIBLE FOR BUSINESS CAPABILITIES AND CORRESPONDING BUSINESS SYSTEMS. SYSTEMS MAY TOUCH MULTIPLE CBMA(S). EACH IRB'S RESPONSIBILITY FOR A SYSTEM (PRIMARY OR SECONDARY) IS DESCRIBED BY IRB ROLE. THE PRIMARY CBMA IS RESPONSIBLE FOR THE SYSTEM'S PRIMARY FUNCTION. THE SYSTEM'S PRIMARY CBMA TAKES THE LEAD IN DETERMINING THE EVOLUTION OF THE SYSTEM, IN CONJUNCTION WITH THE SYSTEM'S OWNER AND ITS SECONDARY DOMAINS.

Which Core Business Mission Area(s) have interest?

ENTER ONE OR MORE OF CORE BUSINESS MISSION AREAS. PLEASE SEE GUIDANCE ABOVE.

Which Component is Sponsoring the System?

ENTER THE FULL, UN-ABBREVIATED NAME FOR THE DOD PROGRAM/SYSTEM SPONSOR TO INCLUDE SPECIFIC ORGANIZATION.

Who is the Component PCA?

ENTER THE COMPONENT PRE-CERTIFICATION AUTHORITY TO INCLUDE SPECIFIC ORGANIZATIONAL INFORMATION. SEE PARAGRAPH 6.4 OF THE IRB CONOPS.

Who is the PCA POC? What is the POC's phone number?

ENTER THE COMPONENT PRE-CERTIFICATION AUTHORITY POINT OF CONTACT INFORMATION INCLUDING E-MAIL AND PHONE NUMBER(S). SEE PARAGRAPH 6.4 OF THE IRB CONOPS

Who is the Milestone Decision Authority (MDA)?

ENTER THE MILESTONE DECISION AUTHORITY CONTACT INFORMATION INCLUDING E-MAIL AND PHONE NUMBER(S).

Description

What is the Program/Initiative Title?

ENTER FULL, UN-ABBREVIATED NAME OF THE SYSTEM. THIS IS THE ENTERPRISE AUTHORITATIVE SOURCE FOR SYSTEM (LONG) NAME.

What is the Program/Initiative Acronym?

A SHORTENED OR COMMONLY USED NAME OR ABBREVIATION (UPPER CASE) FOR THIS ENTRY.

Is the system registered in a DoD repository?

What is the IT Registry #

What is the ITMA #

What is the DITPR #

ENTER WHETHER THE SYSTEM HAS BEEN REGISTERED WITH THE DEPARTMENT'S REGISTRIES. PROVIDE THE SPECIFIC REGISTRY INFORMATION OR ANSWER "NOT REGISTERED" FOR EACH OF THE THREE REGISTRIES. BIN - BUDGET IDENTIFICATION NUMBER; ITMA - INFORMATION TECHNOLOGY MANAGEMENT APPLICATION NUMBER - IDENTIFIES THE INITIATIVE IN THE ITMA SYSTEMS WITHIN WHICH THIS SYSTEM'S BUDGET EXISTS. MULTIPLE SYSTEMS (IF PART OF THE SAME INITIATIVE) MAY HAVE THE SAME ITMA NUMBERS.

Is this system a Core, Interim or Legacy system?

IDENTIFY WHETHER THIS IS CORE, INTERIM, OR LEGACY SYSTEM TYPE. SEE SECTION 11.0 "KEY DEFINITIONS" OF THE IRB CONOPS .

LEGACY SYSTEM -- AN EXISTING SYSTEM THAT IS DESIGNATED FOR CLOSURE WHEN THE CAPABILITY IS ABSORBED BY AN INTERIM OR CORE SYSTEM, OR AN EXISTING SYSTEM WITHOUT ANY DESIGNATION YET MADE.

ITERIM SYSTEM -- AN EXISTING SYSTEM OR SYSTEM IN DEVELOPMENT, AS DEIGNATED BY THE CBMA, THAT SUPPORTS THE DEPARTMENT FOR A GIVEN CAPABILITY DURING A LIMITED PERIOD OF TIME UNTIL THE CORE SYSTEM IS DEPLOYED.

CORE SYSTEM -- AN EXISTING SYSTEM, A SYSTEM IN DEVELOPMENT, OR A SYSTEM BEGINNING THE ACQUISITION PROCESS THAT IS/WILL BECOME THE DEPARTMENT'S SOLUTION FOR A GIVEN CAPABILITY(IES), AS DEIGNATED BY THE CBMA.

Is this a Joint program/initiative?

IDENTIFY WHETHER THIS IS JOINT COMPONENT INITIATIVE. "JOINT" PROGRAMS/INITIATIVES REFERS TO THE JOINT CAPABILITIES INTEGRATION AND DEVELOPMENT SYSTEM (JCIDS) PROCESS AND THE ASSIGNMENT OF A JOINT POTENTIAL DESIGNATION (JPD) BY THE JOINT STAFF/J-8. REFERENCE CHAIRMAN OF THE JOINT CHIEFS OF STAFF INSTRUCTION (CJCSI) 3170.01E, 11 MAY 2005.

Which tier is the enhancement/modernization?

CATEGORIZATION OF PROJECT/PROGRAM RELATIVE TO IRB CERTIFICATION TIER. SEE SECTION 7.1 "DETERMINATION OF REQUIREMENT FOR REVIEW AND CERTIFICATION" OF THE IRB CONOPS

Funding/Budget

Provide the schedule, milestones, over the FYDP.

DO NOT LEAVE THIS QUESTION UNANSWERED.

What is the current fiscal year?

Account for all funds by appropriation, proposed in that fiscal year budget for the system, including O&M (or Steady State) and Development, Modernization and Enhancement. Provide information by FY.

THIS QUESTION FOCUSES ON "ALL" FUNDS RELATED TO THE INITIATIVE AND CAN BE OBTAINED FROM "SECTION A" OF THE ITMA REGISTRY. BUDGET TABLES WITHIN SECTION A OF THE ITMA SUBMISSION IDENTIFY FUNDING FOR THE PROJECT REFLECTED IN THE CURRENT BUDGET SUBMISSION (I.E., FYDP).

DEVELOPMENT/MODERNIZATION/ENHANCEMENT - THE PROGRAM COSTS FOR NEW SYSTEMS, CHANGES OR MODIFICATIONS TO EXISTING SYSTEMS THAT IMPROVE CAPABILITY OR PERFORMANCE, CHANGES MANDATED BY CONGRESS OR AGENCY LEADERSHIP, PERSONNEL COSTS FOR PROJECT MANAGEMENT, AND DIRECT SUPPORT.

STEADY STATE - MAINTENANCE AND OPERATION COSTS AT CURRENT CAPABILITY AND PERFORMANCE LEVEL INCLUDING COSTS FOR PERSONNEL, MAINTENANCE OF EXISTING INFORMATION SYSTEMS, CORRECTIVE SOFTWARE MAINTENANCE, VOICE AND DATA COMMUNICATIONS MAINTENANCE, AND REPLACEMENT OF BROKEN IT EQUIPMENT.

PROGRAM NOT YET REGISTERED IN THE ITMA (SNAP-IT) REGISTRY SHOULD PROVIDE INFORMATION FROM APPROPRIATE PROJECT PLANS. DO NOT LEAVE THIS QUESTION UNANSWERED.

What is the amount of the modernization/enhancement to be certified?

PROVIDE THE PORTION OF FUNDING ANNOTATED ABOVE TO BE APPLIED TO MODERNIZATION OR ENHANCEMENT INITIATIVE. ALL COSTS, OF ANY TYPE OF FUNDING, INCURRED TO DESIGN, DEVELOP, IMPLEMENT/DEPLOY AND/OR FUNCTIONALLY ENHANCE/TECHNICALLY UPGRADE AN INFORMATION TECHNOLOGY SYSTEM. THESE COSTS INCLUDE, BUT ARE NOT LIMITED TO, PERSONNEL, EQUIPMENT, SOFTWARE, SUPPLIES, CONTRACTED SERVICES FROM PRIVATE SECTOR PROVIDERS, SPACE OCCUPANCY, INTRA-AGENCY SERVICES FROM WITHIN THE AGENCY AND INTER-AGENCY SERVICES FROM OTHER FEDERAL AGENCIES. ESSENTIALLY ENHANCEMENT COSTS; NOT SUSTAINMENT COSTS.

Is the Program/Initiative fully funded through the FYDP?

What is the System Lifecycle Stage?

1. CONCEPT REFINEMENT: THE PURPOSE OF THIS PHASE IS TO REFINER THE INITIAL CONCEPT AND DEVELOP A TECHNOLOGY DEVELOPMENT STRATEGY (TDS). ENTRANCE INTO THIS PHASE DEPENDS UPON AN APPROVED ICD RESULTING FROM THE ANALYSIS OF POTENTIAL CONCEPTS ACROSS THE DOD COMPONENTS, INTERNATIONAL SYSTEMS FROM ALLIES, AND COOPERATIVE OPPORTUNITIES; AND AN APPROVED PLAN FOR CONDUCTING AN ANALYSIS OF ALTERNATIVES (AOA) FOR THE SELECTED CONCEPT, DOCUMENTED IN THE APPROVED ICD. DOD 5000.2
2. TECHNOLOGY DEVELOPMENT: THE PURPOSE OF THIS PHASE IS TO REDUCE TECHNOLOGY RISK AND TO DETERMINE THE APPROPRIATE SET OF TECHNOLOGIES TO BE INTEGRATED INTO A FULL SYSTEM. TECHNOLOGY DEVELOPMENT IS A CONTINUOUS TECHNOLOGY DISCOVERY AND DEVELOPMENT PROCESS REFLECTING CLOSE COLLABORATION BETWEEN THE S&T COMMUNITY, THE USER, AND THE SYSTEM DEVELOPER. IT IS AN ITERATIVE PROCESS DESIGNED TO ASSESS THE VIABILITY OF TECHNOLOGIES WHILE SIMULTANEOUSLY REFINING USER REQUIREMENTS. DOD 5000.2
3. SYSTEM DEVELOPMENT & DEMONSTRATION: THE PURPOSE OF THE SDD PHASE IS TO DEVELOP A SYSTEM OR AN INCREMENT OF CAPABILITY; REDUCE INTEGRATION AND MANUFACTURING RISK (TECHNOLOGY RISK REDUCTION OCCURS DURING TECHNOLOGY DEVELOPMENT); ENSURE OPERATIONAL SUPPORTABILITY WITH PARTICULAR ATTENTION TO REDUCING THE LOGISTICS FOOTPRINT; IMPLEMENT HUMAN SYSTEMS INTEGRATION (HSI); DESIGN FOR PRODUCIBILITY; ENSURE AFFORDABILITY AND THE PROTECTION OF CRITICAL PROGRAM INFORMATION (CPI) BY IMPLEMENTING APPROPRIATE TECHNIQUES SUCH AS ANTI-TAMPER; AND DEMONSTRATE SYSTEM INTEGRATION, INTEROPERABILITY, SAFETY, AND UTILITY. DEVELOPMENT AND DEMONSTRATION ARE AIDED BY THE USE OF SIMULATION-BASED ACQUISITION AND TEST AND EVALUATION INTEGRATED INTO AN EFFICIENT CONTINUUM AND GUIDED BY A SYSTEM ACQUISITION STRATEGY AND TEST AND EVALUATION MASTER PLAN (TEMP). THE INDEPENDENT PLANNING OF DEDICATED INITIAL OPERATIONAL TEST AND EVALUATION (IOT&E), AS REQUIRED BY LAW, AND FOLLOW-ON OPERATIONAL TEST AND EVALUATION (FOT&E), IF REQUIRED, SHALL BE THE RESPONSIBILITY OF THE APPROPRIATE OPERATIONAL TEST AGENCY (OTA). A DIRECTOR, OPERATIONAL TEST & EVALUATION (DOT&E)-APPROVED LIVE-FIRE TEST AND EVALUATION (LFT&E) STRATEGY SHALL GUIDE LFT&E ACTIVITY. DOD 5000.2
4. PRODUCTION & DEPLOYMENT: THE PURPOSE OF THE PRODUCTION AND DEPLOYMENT PHASE IS TO ACHIEVE AN OPERATIONAL CAPABILITY THAT SATISFIES MISSION NEEDS. OPERATIONAL TEST AND EVALUATION SHALL DETERMINE THE EFFECTIVENESS AND SUITABILITY OF THE SYSTEM. THE MDA SHALL MAKE THE DECISION TO COMMIT THE DEPARTMENT OF DEFENSE TO PRODUCTION AT MILESTONE C. MILESTONE C AUTHORIZES ENTRY INTO LRIP (FOR MDAPS AND MAJOR SYSTEMS), INTO PRODUCTION OR PROCUREMENT (FOR NON-MAJOR SYSTEMS THAT DO NOT REQUIRE LRIP) OR INTO LIMITED DEPLOYMENT IN SUPPORT OF OPERATIONAL TESTING FOR MAIS PROGRAMS OR SOFTWARE-INTENSIVE SYSTEMS WITH NO PRODUCTION COMPONENTS. THE TABLES AT ENCLOSURE 3 IDENTIFY THE STATUTORY AND REGULATORY REQUIREMENTS THAT SHALL BE MET AT MILESTONE C. DOD 5000.2
5. OPERATIONS & SUPPORT: THE OBJECTIVE OF THIS ACTIVITY IS THE EXECUTION OF A SUPPORT PROGRAM THAT MEETS OPERATIONAL SUPPORT PERFORMANCE REQUIREMENTS AND SUSTAINS THE SYSTEM IN THE MOST COST-EFFECTIVE MANNER OVER ITS TOTAL LIFE CYCLE. WHEN THE SYSTEM HAS REACHED THE END OF ITS USEFUL LIFE, IT SHALL BE DISPOSED OF IN AN APPROPRIATE MANNER. OPERATIONS AND SUPPORT HAS TWO MAJOR EFFORTS: SUSTAINMENT AND DISPOSAL. DOD 5000.2

What is the Acquisition Category?

CATEGORIZATION OF PROJECT/PROGRAM RELATIVE TO ACAT DESIGNATIONS. SEE SECTION 7.1 "DETERMINATION OF REQUIREMENT FOR REVIEW AND CERTIFICATION" OF THE IRB CONOPS.

Certification Request

Date submitted for Certification.

PROVIDE THE DATE SUBMITTED TO THE PCA FOR CERTIFICATION.

Date PCA certified.

CONTACT YOUR COMPONENT PRE-CERTIFICATION AUTHORITY FOR THE CERTIFICATION DATE.

What event requires Certification?

PROVIDE THE ACTIVITY WHICH REQUIRES, CERTIFICATION, I.E. "MILESTONE APPROVAL", "AUTHORITY TO OBLIGATE", "DESIGNATED FOLLOW-UP", ETC.

What is the date modernization/enhancement funding would be obligated?

ESTIMATED DATE THE SYSTEM WILL BE CERTIFIED BY APPROVAL AUTHORITY OR ESTIMATED DATE THE SYSTEM NEEDS TO BE REVIEWED PER CERTIFICATION/APPROVAL RECOMMENDATIONS.

Describe the modernization/enhancement.

THE DESCRIPTION OF THE PROJECT MUST PROVIDE A SUMMARY OVERVIEW OF THE PROJECT FOCUSING ON THE FOLLOWING KEY AREAS, AS APPLICABLE: THE PROJECT'S OBJECTIVES; FUNCTIONAL AREA SUPPORTED; KEY CUSTOMERS AND STAKEHOLDERS; COLLABORATIVE EFFORTS WITH OTHER ACTIVITIES, COMMANDS, AGENCIES; AND BENEFITS (IN GENERAL TERMS, COST AND PERFORMANCE)

Amplifying discussion (as required).

AMPLIFYING DISCUSSION COULD INCLUDE ANY ADDITIONAL INFORMATION THAT MAY IMPACT IRB RECOMMENDATION. EXAMPLES MAY INCLUDE MISSION CONTRIBUTION, ASSOCIATED BENEFITS AND MANAGEMENT CONTROLS AND PROCESSES.

Justification

“BUSINESS JUSTIFICATION” CONTAINS QUESTIONS INTENDED TO PROVIDE THE REVIEWER WITH SPECIFIC BUSINESS MISSION REQUIREMENTS AND BUSINESS-FOCUSED JUSTIFICATION REFLECTING TANGIBLE END-TO-END BUSINESS MISSION IMPROVEMENTS THAT CLEARLY BENEFIT THE WARFIGHTING MISSION OF THE DEPARTMENT.

“POLICY, LAW, AND REGULATION” CONTAINS QUESTIONS INTENDED TO PROVIDE THE REVIEWER WITH JUSTIFICATION REFLECTING COMPLIANCE TO APPLICABLE FEDERAL AND DOD FINANCIAL MANAGEMENT POLICIES, LAW, AND REGULATIONS . IF “NO” TO ANY OF THE CERTIFICATIONS BELOW, PROVIDE JUSTIFICATION.

THE INFORMATION IS USED TO ASSESS WHETHER THE BUSINESS SYSTEM INVESTMENT IS CONSISTENT WITH DEPARTMENT STRATEGIC GOALS AND OBJECTIVES AS WELL AS ITS ABILITY ACHIEVE AN ESSENTIAL BUSINESS CAPABILITY. ANSWERS MUST PROVIDE CLEAR AND CONCISE DOCUMENTED GUIDANCE TO CERTIFICATION AUTHORITIES.

Business Justification

What DoD Enterprise, or Component specific requirement(s) does this initiative address? (Note: The Components are not required to address the COCOM 57/129 requirements.)

Would denial of this modernization/enhancement request adversely affect DoD operations?

IN GENERAL TERMS, DESCRIBE THE EFFECTS, IMPACT OR DAMAGE THAT WOULD OCCUR TO OPERATIONS WITHIN THE DEPARTMENT OF DEFENSE IF THE PROGRAM OR INITIATIVE DEVELOPMENT/MODERNIZATION IS NOT SUPPORTED."

If Program/Initiative is less-than-MAIS, has the agency Component Independent cost review authority reviewed and validated the economic viability?

IF YES, ENSURE THAT THE ECONOMIC VIABILITY (EV) ANALYSIS HAS BEEN INCORPORATED IN THE CERTIFICATION DASHBOARD. THE COMPONENT MAY BE REQUIRED TO PROVIDE THE EV ANALYSIS AND/OR THE COMPONENT INDEPENDENT COST REVIEW AUTHORITY VALIDATION LETTER, AS REQUIRED BY THE IRB.

Provide program overview/description.

THE DESCRIPTION OF THE PROJECT MUST PROVIDE A SUMMARY OVERVIEW OF THE PROJECT FOCUSING ON THE FOLLOWING KEY AREAS, AS APPLICABLE: THE PROJECT'S OBJECTIVES; FUNCTIONAL AREA SUPPORTED; KEY CUSTOMERS AND STAKEHOLDERS; COLLABORATIVE EFFORTS WITH OTHER ACTIVITIES, COMMANDS, AGENCIES; BENEFITS (IN GENERAL TERMS, COST AND PERFORMANCE); AND STATUTORY OR REGULATORY MANDATES, IF ANY.

Does this modernization/enhancement help transform the Department's business processes?

TO BE CONSIDERED FOR CONTINUED FUNDING, PROGRAM MANAGERS MUST IDENTIFY BUSINESS CAPABILITIES AND SYSTEM FUNCTIONS PERFORMED AND DEMONSTRATE THAT THE SYSTEM/APPLICATION SATISFIES AN EXISTING, NEW OR UNIQUE FUNCTIONAL AREA CAPABILITY OR REQUIREMENT.

Could another existing system or an e-GOV initiative, be adapted or used to resolve the requirement?

THE E-GOVERNMENT ACT OF 2002 (P.L. 107-347) REQUIRES AGENCIES TO SUPPORT GOVERNMENT-WIDE E-GOVERNMENT INITIATIVES AND TO LEVERAGE CROSS-AGENCY OPPORTUNITIES TO FURTHER E-GOVERNMENT. IT INVESTMENTS SHOULD BE COLLABORATIVE AND INCLUDE MULTIPLE AGENCIES, STATE, LOCAL, OR TRIBAL GOVERNMENTS. PROGRAMS AND INITIATIVES SHOULD MAKE FULL USE OF E-BUSINESS TECHNOLOGIES AS DEMONSTRATED BY LINKAGE TO THE FEDERAL ENTERPRISE ARCHITECTURE (FEA); AND, IF APPLICABLE, BE FULLY ALIGNED WITH ONE OR MORE OF THE PRESIDENT'S E-GOV INITIATIVES. IF YES, IDENTIFY HOW E-GOV INITIATIVES WILL BE USED TO RESOLVE THE REQUIREMENTS.

Does it duplicate an e-GOV initiative? If so, justify.

IF YOUR PROJECT EMPLOYS FUNCTIONALITY SIMILAR TO OTHER E-GOVERNMENT INITIATIVES, DISCUSS THE RATIONALE FOR DUPLICATION AND NON-USE OF THE E-GOV INITIATIVES.

Are there significant risks associated with this system/program that may affect the successful deployment and operation of this system? If so, provide mitigation strategy.

ACQUISITION PROGRAMS MAY HAVE SOME OF THIS INFORMATION IN THE ACQUISITION STRATEGY DOCUMENTATION, SECURITY DOCUMENTATION, AND/OR OPERATIONAL TEST AND EVALUATION PLAN.

THE "RISK MANAGEMENT GUIDE FOR DoD ACQUISITIONS" CAN BE FOUND AT:
[HTTP://WWW.DAU.MIL/PUBS/PDF/RISKMGMTGUIDE2001.PDF](http://www.dau.mil/pubs/pdf/riskmgmtguide2001.pdf)

Identify any GAO, DoDIG, other audit findings, or material weaknesses and the planned resolution.

FOR EXAMPLE, THE DEPARTMENT IS MOVING TOWARD AN UNQUALIFIED (CLEAN) OPINION AND COMPLIANCE WITH CONGRESSIONAL GUIDANCE, AS SET FORTH IN THE FY 2005 AUTHORIZATION ACT. WEAKNESSES INCLUDE DEFICIENCIES IN FINANCIAL MANAGEMENT SYSTEMS AND BUSINESS PROCESSES RESULT IN THE INABILITY TO COLLECT AND REPORT FINANCIAL AND PERFORMANCE INFORMATION THAT IS ACCURATE, RELIABLE, AND TIMELY. REFER TO YOUR COMPONENT FINANCIAL MANAGEMENT IMPROVEMENT PLANS FOR LINKAGE TO REPORTED MATERIAL WEAKNESSES.

Is the program/initiative aligned to applicable policies, laws and regulations?

PROVIDE AN EXPLANATION AND JUSTIFICATION IF THE PROGRAM/INITIATIVE IS NOT ALIGNED TO APPLICABLE POLICIES, LAWS, AND REGULATIONS.

Policy, Law, and Regulation

Is the Program/Initiative DITSCAP compliant? If not DITSCAP Compliant, has system received Interim Approval to Operate (IATO)?

DITSCAP CERTIFICATION REQUIRES FORMAL DECLARATION BY THE DESIGNATED APPROVING AUTHORITY THAT AN IT SYSTEM IS APPROVED TO OPERATE IN A PARTICULAR SECURITY MODE USING A PRESCRIBED SET OF SAFEGUARDS AT AN ACCEPTABLE LEVEL OF RISK. DODI 5200.40 (DITSCAP) ESTABLISHES A STANDARD DOD-WIDE PROCESS, SET OF ACTIVITIES, GENERAL TASKS, AND A MANAGEMENT STRUCTURE TO CERTIFY AND ACCREDIT INFORMATION SYSTEMS (IS) THAT WILL MAINTAIN THE INFORMATION ASSURANCE (IA) AND SECURITY POSTURE OF THE DEFENSE INFORMATION INFRASTRUCTURE (DII) THROUGHOUT THE LIFE CYCLE OF THE SYSTEM. IF DITSCAP DOES NOT APPLY OR IF AN INTERIM APPROVAL TO OPERATE (IATO) IS NOT PROVIDED THEN JUSTIFY AND EXPLAIN. REFER TO [HTTP://IASE.DISA.MIL](http://IASE.DISA.MIL) FOR MORE INFORMATION.

Is the Program required to complete the Annual Federal Information Security Management Act (FISMA) Report and has this report been completed?

FEDERAL INFORMATION SECURITY MANAGEMENT ACT OF 2002 (FISMA), TITLE III OF THE E-GOVERNMENT ACT OF 2002, PL 107-347, PROVIDES A FRAMEWORK FOR ENSURING THE EFFECTIVENESS OF INFORMATION SECURITY CONTROLS OVER FEDERAL INFORMATION RESOURCES AND PROVIDES FOR THE DEVELOPMENT AND MAINTENANCE OF MINIMUM CONTROLS REQUIRED TO PROTECT FEDERAL INFORMATION AND INFORMATION SYSTEMS. IF FISMA OR THE REPORT IS NOT REQUIRED, OR IS "IN-PROGRESS", THEN PROVIDE JUSTIFICATION. THE FISMA CAN BE FOUND AT:
[HTTP://FRWEBGATE.ACCESS.GPO.GOV/CGI-BIN/GETDOC.CGI?DBNAME=107_CONG_PUBLIC_LAWS&DOCID=F:PUBL347.107.PDF](http://FRWEBGATE.ACCESS.GPO.GOV/CGI-BIN/GETDOC.CGI?DBNAME=107_CONG_PUBLIC_LAWS&DOCID=F:PUBL347.107.PDF)

Is Program/Initiative Compliant with the Clinger-Cohen Act (CCA)?

THE CLINGER-COHEN ACT OF 1996 REQUIRES THE AGENCY'S CHIEF INFORMATION OFFICER (CIO) TO CERTIFY, AT EACH ACQUISITION MILESTONE, THAT MAJOR AUTOMATED INFORMATION SYSTEMS (MAIS) ARE BEING DEVELOPED IN ACCORDANCE WITH SUBTITLE II OF TITLE 40 OF THE UNITED STATES CODE (FORMALLY THE CLINGER-COHEN ACT (CCA) OF 1996). COMPLIANCE WITH THE CLINGER-COHEN ACT (CCA) OF 1996 IS REQUIRED FOR ALL IT SYSTEMS, INCLUDING THOSE IN WEAPONS AND WEAPONS SYSTEMS PROGRAMS. THE REQUIREMENT FOR CERTIFICATION OF COMPLIANCE WITH THE CCA IS EXPLAINED IN DODI 5000.2. REGISTRATION REQUIREMENTS IN THE DOD APPROPRIATIONS ACTS ARE FOR MISSION CRITICAL AND MISSION-ESSENTIAL IT SYSTEMS (INCLUDING NSS). THE BASIC REQUIREMENTS OF THE CCA THAT RELATE TO THE DEPARTMENT'S ACQUISITION PROCESS HAVE BEEN INSTITUTIONALIZED IN DOD INSTRUCTION 5000.2. IF "NO" OR "NOT APPLICABLE", THEN PROVIDE JUSTIFICATION.

If a financial management or mixed system, is the Program/Initiative Federal Financial Management Improvement Act (FFMIA) Compliant? If "No" has an FFMIA Compliance Plan been prepared?

THE FEDERAL FINANCIAL MANAGEMENT IMPROVEMENT ACT OF 1996 (FFMIA) REQUIRES AGENCIES TO IMPLEMENT AND MAINTAIN FINANCIAL MANAGEMENT SYSTEMS THAT ARE IN SUBSTANTIAL COMPLIANCE WITH OMB CIRCULAR A-127, JFMIP REQUIREMENTS, FEDERAL ACCOUNTING STANDARDS, AND THE UNITED STATES GOVERNMENT STANDARD GENERAL LEDGER (USSGL) AT THE TRANSACTION LEVEL. IF "NO" OR "NOT APPLICABLE", THEN PROVIDE JUSTIFICATION.

Is the program Health Insurance Portability and Accountability Act (HIPAA) compliant?

THE HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT OF 1996 (HIPPA) IS DESIGNED TO AMEND THE INTERNAL REVENUE CODE OF 1986 TO IMPROVE PORTABILITY AND CONTINUITY OF HEALTH INSURANCE COVERAGE IN THE GROUP AND INDIVIDUAL MARKETS, TO COMBAT WASTE, FRAUD AND ABUSE IN HEALTH INSURANCE AND HEALTH CARE DELIVERY, TO PROMOTE THE USE OF MEDICAL SAVINGS ACCOUNTS, TO IMPROVE ACCESS TO LONG-TERM CARE SERVICES AND COVERAGE, AND TO SIMPLIFY THE ADMINISTRATION OF HEALTH INSURANCE. IF "NO" OR "NOT APPLICABLE", THEN PROVIDE JUSTIFICATION.

Is the program compliant with the Privacy Act of 1974?

TITLE II, SECTION 208 OF PUBLIC LAW 107—REQUIRES A PRIVACY IMPACT ASSESSMENT BEFORE DEVELOPING OR PROCURING A SYSTEM THAT COLLECTS, MAINTAINS, OR DISSEMINATES INFORMATION THAT IS IN AN IDENTIFIABLE FORM. IF "NO" OR "NOT APPLICABLE", THEN PROVIDE JUSTIFICATION. SEE E-GOVERNMENT ACT AT: [HTTP://FRWEBGATE.ACCESS.GPO.GOV/CGI-BIN/GETDOC.CGI?DBNAME=107 CONG PUBLIC LAWS&DOCID=F:PUBL347.107.PDF](http://frwebgate.access.gpo.gov/cgi-bin/getdoc.cgi?dbname=107_cong_public_laws&docid=f:publ347.107.pdf)

IF A PRIVACY ASSESSMENT/EVALUATION WAS PERFORMED, PROVIDE DATE OF MOST RECENT ASSESSMENT/EVALUATION.

Does the System have a current, DoDAF compliant Architecture?

THE DoD ARCHITECTURE FRAMEWORK (DoDAF) IS USED TO DESCRIBE HOW YOUR SOLUTION PROVIDES INTEROPERABLE, JOINT CAPABILITIES TO BEST SATISFY THE NEEDS OF FUTURE WARFIGHTERS. ALL ONGOING AND FUTURE CONTRACTED ARCHITECTURES, SYSTEMS AND TECHNOLOGIES MUST COMPLY WITH A DoDAF-COMPLIANT ARCHITECTURE. IF “NO” THEN PROVIDE JUSTIFICATION

Is the Program/Initiative schedule consistent with the Net Centric requirement?

NOT REQUIRED FOR FY05 - FY06 SUBMISSIONS.

Are there other rules or mandates that may influence the need for this program?

ADDITIONAL DISCUSSION COULD INCLUDE MISSION CRITICAL NEEDS OR REQUIRED MANAGEMENT CONTROLS AND PROCESSES.

Transition Plan (Effective Beginning October 1, 2005)

THE “TRANSITION PLAN” PORTION OF APPENDIX E CONTAINS QUESTIONS INTENDED TO PROVIDE THE REVIEWER WITH INFORMATION RELATED TO THE TRANSITION OF LEGACY AND INTERIM SYSTEMS TO A SET OF CORE IT INVESTMENT. ANSWERS MUST REFLECT THE DEVELOPMENT OF A TRANSITION PLAN THAT SUFFICIENTLY DEFINES, GUIDES, CONSTRAINS AND PERMITS IMPLEMENTATION OF INTEROPERABLE DEFENSE BUSINESS SYSTEM SOLUTIONS.

Is the business system modernization initiative identified in the DoD enterprise or Component Transition Plan?

REVIEW THE COMPONENT AND DoD ENTERPRISE TRANSITION PLAN TO ASSESS RELEVANCE TO EXISTING PLANNING EFFORTS. IDENTIFY THE CRITICALITY OF THE SYSTEM MODERNIZATION TO NATIONAL SECURITY. IF THE BUSINESS SYSTEM MODERNATION IS IDENTIFIED IN THE TRANSITION PLAN, ENSURE THE PLAN IS LOCATED ON THE INVESTMENT REVIEW BOARD PORTAL.

Are there programmatic/technical dependencies with other systems?

IDENTIFY DEPENDENCIES WITH OTHER SYSTEMS IN THE TRANSITION PLAN. IDENTIFY SYSTEMS OR SYSTEM MODULES THAT ELIMINATED BY THIS INVESTMENT. INCLUDE SUNSET DATES.

Identify systems or system modules eliminated (with sunset dates).

IF NOT IDENTIFIED IN THE TRANSITION PLAN INCLUDE THE SYSTEM ACRONYM, SYSTEM UNIQUE ID, MODULES ELIMINATED, OPERATIONAL ACTIVITY ELIMINATED, SUNSET DATE AND ENABLING EVENT (EXAMPLES OF ENABLING EVENTS: MILESTONE, PRODUCT RELEASE, FOC, FRP)

Architecture

THE “ARCHITECTURE” PORTION OF APPENDIX E CONTAINS QUESTIONS INTENDED TO PROVIDE THE REVIEWER WITH INFORMATION RELATED TO THE BUSINESS ENTERPRISE ARCHITECTURE (BEA 3.0). THE NDAA REQUIRES ALIGNMENT OF BUSINESS INFORMATION TECHNOLOGY (IT) INVESTMENTS TO THE BUSINESS ENTERPRISE ARCHITECTURE.

Identify the activities or capabilities (DoD enterprise and/or Component) supported by this system modernization or enhancement initiative.

SEE THE APPENDIX E TEMPLATE SECTION G.1 FOR A LIST OF THE BEA OPERATIONAL ACTIVITIES.

Are these activities or capabilities (identified above) aligned with the activities listed in the DoD BEA or are Component activities aligned to the BEA?

AV-1, TV-1, AND OV-5 ARE NOT REQUIRED FOR FY05 – FY06 SUBMISSIONS

Identify how the operational activities encompassed by the Program/Initiative support the capabilities/function and define how they enable the supported operational activities.

Is the Program/Initiative required to achieve a BEA objective? If yes, identify the BEA objective(s).

PER THE MARCH 15, 2005 REPORT TO CONGRESSIONAL COMMITTEES, THE BEA OBJECTIVES ARE DESCRIBED AS FOLLOWS:

1. Define the future capabilities necessary to support the warfighter and focus the activity of business systems modernization on acquiring those capabilities.
2. Define and declare capabilities that should be common throughout the DoD business enterprise and direct the implementation of enterprise-wide systems with greater visibility at the highest levels of leadership within the Department.
3. Control current and future investments in business systems.

Is the Program/Initiative compliant with the Business Enterprise Architecture and the Component architecture? If not, justify.

THE BEA IS BEING ITERATIVELY DEVELOPED. PLEASE CONTACT YOUR IRB SUPPORT GROUP FOR SPECIFIC GUIDANCE.

Does this initiative comply with the applicable technical environment established by the DoD BEA TV-1?

IF NOT, AND THIS INITIATIVE IS PART OF THE BEA, DOES ITS MIGRATION PLAN REFLECT FUTURE COMPLIANCE?

Are the system interfaces identified and schedules aligned?

Attachment B

Core Business Mission Area BEA Compliance

Attachment B: Core Business Mission Area BEA Compliance

The Business Enterprise Priorities (BEPs) define goals, objectives, outcomes and metrics to help focus the Department's desired business transformation. It is through the mapping business systems with the Business Enterprise Architecture (BEA) that the Department can better understand the redundancies and gaps of business capabilities. When it is completed the BEA will provide the framework for this assessment. Major components of the BEA that will be used for this alignment effort are shown in Figure 1 below.

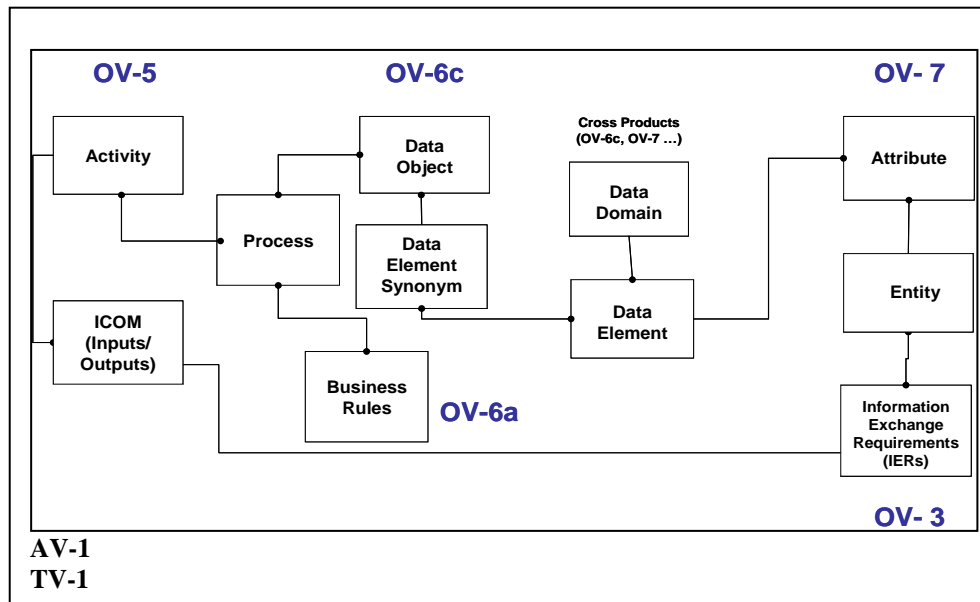


Figure 1

Until BEA 3.0 is sufficiently detailed, the IRB will map business systems to the Operational Activity Nodes of the BEA. (See Appendix E Template, Section G – Architecture Part I)

The Components must comply with the following conditions or submit a Transition Plan accordingly:

1.0 Current interim standardized conditions are listed below for the AT&L Core Business Missions supporting Weapon Systems Lifecycle Management (WSLM) and Materiel Supply & Services Management (MS&SM)

- The Component's Business System Investments must comply with the DoD Transition Plan. The DoD Transition Plan is located on the BMMP Portal at <https://spsbmmp.dfas.mil>. Business Enterprise Priority (BEP) requirements. (To be provided to Components under separate cover.)
- The Component's Business System Investments must comply with the 22 December 2003 memorandum signed by the Acting Under Secretary of Defense for Acquisition, Technology and Logistics, with the subject "Migration to the Defense Logistics Management Standards (DLMS) and Elimination of Military Standard Systems (MILS)," that requires that by 1 January 2005 "all information exchanges among DoD systems shall use the DLMS ANSI ASC X12 or equivalent XML schema for all business processes supported by the DOD 4000.25 series of manuals." This business system should migrate from MILS technology immediately.
- The Component's Business System Investments must comply with the memorandum signed on 14 July 2004 by the Acting Under Secretary of Defense for Acquisition, Technology and Logistics, with the subject "Standard Procurement System Deployment" wherein the "SPS/PD2 is

the interim state solution for contract writing capabilities within the Acquisition Domain.” It is expected that all Military Service specific resource planning systems will interface with SPS and not duplicate SPS functionality.

- The Component’s Business System Investments must comply with the memorandum signed on 14 July 2004 by the Acting Under Secretary of Defense for Acquisition, Technology and Logistics, with the subject “Acquisition Domain Transition Planning” wherein each Military Department and Defense Agency will transition to the interim state solutions no later than October 31, 2005 and to ensure that Military Department and Defense Agency Plans are provided as requested.
- The Component must continue to work with the Supply Chain Systems Transformation Directorate (SCST) in determining an appropriate interface to Wide Area Workflow (WAWF) for receipts and acceptance.
- The Component must develop a plan to comply with all OSD enterprise business rules for intra-governmental transactions.
- The Component’s Business System Investments must also meet the requirements specified by the Acting Under Secretary of Defense for Acquisition, Technology and Logistics related to UID IAW in DFARS 211.274-1 to 211.274-4, "Unique Item Identification and Valuation."
- The Component’s Business System Investments must meet the requirements specified by the Acting Under Secretary of Defense for Acquisition, Technology and Logistics for the implementation of RFID as contained in the “Radio Frequency Identification (RFID) Policy” signed 30 July 2004.
- The Component’s Business System Investments must comply with the memorandum signed on 08 June 2005 by the Director of Acquisition, Resources and Analysis, with the subject “Military Equipment Valuation Project Business Rules” wherein the business rules for the military valuation process methodology are to be established by phase, with the initial baseline phase to be completed by end of FY2006. ‘Mid-term’ rules (with associated rationale and source material) will be applied to acquisition occurring in FY2007.

2.0 Current interim standardized conditions are listed below for the Core Business Mission Areas supporting Human Resources Management.

"To be compliant with the BEA, HRM systems/initiatives must be aligned with the HRM business capabilities described in the HRM architecture products and must align to the HRM business enterprise systems (Defense Travel System (DTS), Defense Integrated Military Human Resources System (DIMHRS), Composite Health Care System II (CHCS II), and Defense Civilian Personnel Data System (DCPDS)). HRM business capabilities and HRM architecture products are available on the HRM core business mission area website (<https://www.hrm.osd.mil>)".

3.0 Current interim standardized conditions are listed below for the Core Business Mission Areas supporting Financial Management (FM).

To be compliant with the Business Enterprise Architecture (BEA), Financial Management (FM) systems/initiatives must be aligned with the FM business capabilities described in the financial management processes, business rules, activities and data definitions of the architecture products. System/Initiatives must align to FM business enterprise initiatives (Standard Financial Information Structure (SFIS), Program Budget (PB) Framework), systems (Defense Cash Accountability System (DCAS), Defense Data Reporting System (DDRS), Defense Corporate Database (DCD)/Defense Corporate Warehouse (DCW)), and services (Business Enterprise Information Services (BEIS)). FM business capabilities and initiatives are available on the FM

core business mission area website (<http://www.dod.mil/comptroller/bmmp/pages/FM.html>). FM architecture products are available on the BMMP website: http://www.dod.mil/comptroller/bmmp/products/architecture/BEA_3_31_05/iwp/default.htm

4.0 Current interim standardized conditions are listed below for the Core Business Mission Areas supporting Real Property & Installations Lifecycle Management

- Integrate legacy inventory systems to the RPUID registry and expand to include individual and linear assets
- Work with the RPIR framework in order to deconflict real property asset portfolios
- Migrate systems so that they conform to the uniform real property data requirements, populating their inventory systems, and embracing the results of the Analysis of Material Alternatives
- Facilitate adoption of the standardized HazMat process and Material Safety Data Sheets, reaping the expected benefits
- Begin the linkage of geospatial data to RPUID Registry

Comply with the Real Property Inventory Requirements document dated January 2005, approved by the Installations and Environment Domain Governance Board, which can be found at http://www.acq.osd.mil/ie/ie_library.htm#rpir. This document describes the concepts, processes, business rules, and data structures to be used for real property inventories.

Comply with the May 11, 2005 memorandum signed by the Under Secretary for Defense for Acquisition Technology and Logistics with the subject "Policy for Unique Identification (UID) of Real Property Sites and Assets" requires the Military Departments and the Washington Headquarters Service to plan for UID implementation in their real property inventory systems. It also requires the establishment of a real property site and asset registry by December 31, 2005. Use of this registry is described in the real property unique identifier concept of operations document.

Comply with the July 5, 2005 memorandum signed by the Principal Deputy Undersecretary of Defense (Comptroller) with the subject "Interim Change to the Department of Defense Financial, Volume 4, Accounting Policy and Procedures" requiring the measurement, recognition and reporting of environmental liabilities. It requires the Components maintain an inventory of environmental sites that is annually reconciled with the General Plant, Property and Equipment records.

Attachment C

Defense Business Systems Certification Dashboard

Defense Business Systems Certification Dashboard

Business System Name (SystemAcronym_ID#)

Tier: 2 Classification: Enterprise Transition Plan State Legacy not part of Obj Arch/Interim Event: Obligation of Funds
 Acq: ACAT3 Joint Initiative: No Portfolio/Bundle: Target Approval Date: Dec 16, 2005
 Component: DFAS Component PCA: Identify PCA Organization Lead IRB: Partner IRB(s):
 Description: Provides a summary description of the business system and the modernization initiative/ enhancement including justification

Essentiality and any adverse effects should system modernization not be approved:

Operational Activities:

Expected Outcomes:

↑Service Level _ ↓Cost _ ↓Cycle Time _ ↑Asset Util _ ↑Horizontal Integration _ ↑Fin Accountability _ ↑Bus Alignment to Warfighter _

Systems Eliminated: Identify System to be eliminated and their sunset dates.

Milestones of Modernization

Key Milestones	FY05	FY06	FY07	FY08
Initial Design				
Phase I				
IOC				
FOC				

Investment & Return

ROI: 1.0 Breakeven: 1.1 yr NPV: \$500K

Total Modernization Funding	Surk	FY05	FY06	FY07	FY08	FY09	FY10	EIC
Investment/Dev/Mod		\$04	\$00	\$00	\$00	\$00	\$00	\$04
Operations&Maintenance		\$01	\$01	\$01	\$01	\$01	\$01	\$06
Total		\$05	\$05	\$05	\$05	\$05	\$05	\$1.0

Risks & Mitigation

- **Schedule:** Medium (30-60 days behind plan)
- **Cost:** Low (fully funded, <5% variance from plan)
- **Performance:** High (1 high risk item w/o mitigation strategy)
- **Dependencies:** Describe dependencies

(where appropriate, list mitigation statements as an attachment)

Risk Definitions

Cost/Schedule/Performance Risk

	Green	Yellow	Red	Rationale
Cost Risk				
<i>Program Costs (Baseline Vs. Actual)</i>	Within 5% of Program Cost	Within 10% of Program Cost	>10% from Program Cost	Recognized *APB Thresholds
<i>Program By Year</i>	POM Budget within 5% of Estimated Requirements any given year	POM Budget within 10% of Estimated Requirements any given year	POM Budget > 10% difference from Estimated Requirements any given year	Implies that Key Milestones will be slipped or functionality delayed if full funding is not available according to requirements/plan.
Schedule Risk				
<i>Schedule Performance, Key Milestone</i>	Milestone/Schedule Slip < 30 Days	Milestone/Schedule Slip 30-90 Days	Milestone/Schedule Slip > 90 Days	Recognized *APB Thresholds
Performance Risk				
<i>System Architecture</i>	No critical issues have been identified.	Critical Architecture issues identified / Resolution Plan in place.	No Resolution Plan in place for Critical Architecture Issues	Unresolved architecture issues will result in system performance issues
<i>Risk Management</i>	All Medium / High Risk Items have mitigation strategies	One or More Medium Risk Items w/o Mitigation Strategy/Plan,	One or More High Risk Items w/o a defined Mitigation Strategy/Plan or evidence that Risk Management process is not effective	Derived from Risk Management Methodology. If Risk Management Plan is not in place or no evidence that it is being followed, then RED

*APB = Acquisition Program Baseline

Attachment D

Defense Business Systems Investment Summary

Attachment E

Business Management Modernization Program (BMMP)
Investment Review Board Portal User Manual
For Components

1